

EXHIBIT 3

PRIVILEGE DOC ID NUMBER	DATE OR DATE RANGE	DESCRIPTION	AUTHOR(S)	RECIPIENT(S)	CC/BCC(S)	EMAIL STRING RECIPIENTS	PRIVILEGE ASSERTED
1	4/25/2017	Internal handwritten notes of witness interview of Norm Monteau created by SEC Division of Enforcement Attorney containing mental impressions; prepared in anticipation of litigation	Christopher White				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
2	4/25/2017	Internal handwritten notes of witness interview of James Zigras created by SEC Division of Enforcement Attorney containing mental impressions; prepared in anticipation of litigation	Christopher White				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
3	5/25/2017	Internal handwritten notes of witness interview of Bruce Pietretano created by SEC Division of Enforcement Attorney containing mental impressions; prepared in anticipation of litigation	Christopher White				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
4	7/10/2017	Internal handwritten notes of witness interview of Nicholas Stollowitz created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	John E. Kustusch				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege

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5	7/13/2017	Internal memorandum of 7/10/2017 witness interview of Nicholas Stolowitz created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	John E. Kustusch				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
6	11/14/2017	Internal handwritten notes of witness interview of John Hoffman created by SEC Division of Enforcement Attorney containing mental impressions; prepared in anticipation of litigation	Christopher White				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
7	12/1/2017	Internal handwritten notes of witness interview of George Elling created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
8	12/7/2017	Internal memorandum of 12/1/2017 witness interview of George Elling created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
9	12/6/2017	Internal handwritten notes of witness interview of George Elling created by SEC Division of Enforcement Attorney containing mental impressions; prepared in anticipation of litigation	Christopher White				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege

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10	12/1/2017	Internal handwritten notes of witness interview of Chris Burke created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
11	12/4/2017	Internal memorandum of 12/1/2017 witness interview of Chris Burke created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
12	12/6/2017	Internal handwritten notes of witness interview of Chris Burke created by SEC Division of Enforcement Attorney containing mental impressions; prepared in anticipation of litigation	Christopher White				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
13	12/8/2017	Internal handwritten notes of witness interview of Chris Burke created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
14	12/15/2017	Internal memorandum of 12/8/2017 witness interview of Chris Burke created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege

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15	1/4/2018	Internal handwritten notes of witness interview of Susan Ewens created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
16	1/5/2018	Internal memorandum of 1/4/2018 witness interview of Susan Ewens created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
17	1/19/2018	Internal handwritten notes of witness interview of Kent Loehrke created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
18	1/19/2018	Internal memorandum of 1/19/2018 witness interview of Kent Loehrke created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
19	2/15/2018	Internal handwritten notes of witness interview of Bruce Pietrantonio created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege

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20	2/23/2018	Internal memorandum of 2/15/2018 witness interview of Bruce Pietrantonio created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
21	2/15/2018	Internal handwritten notes of witness interview of Glenn Mills created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
22	2/20/2018	Internal memorandum of 2/15/2018 witness interview of Glenn Mills created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
23	2/22/2018	Internal handwritten notes witness interview of Erick Hallick created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
24	3/5/2018	Internal memorandum of 2/22/2018 witness interview of Erick Hallick created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege

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25	2/23/2018	Internal handwritten notes of witness interview of Glenn Mills created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
26	2/28/2018	Internal memorandum of 2/23/2018 witness interview of Glenn Mills created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
27	2/23/2018	Internal handwritten notes of witness interview of Glenn Mills created by SEC Division of Enforcement Attorney containing mental impressions; prepared in anticipation of litigation	Christopher White				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
28	3/9/2018	Internal handwritten notes of witness interview of William Tumler created by SEC Division of Enforcement Attorney containing mental impressions; prepared in anticipation of litigation	Christopher White				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
29	3/13/2018	Internal handwritten notes of witness interview of William Tumler created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege

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30	4/9/2018	Internal memorandum of 3/13/2018 witness interview of William Tumler created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
31	4/5/2018	Internal handwritten notes of memorandum of witness interview of Glenn Mills created by SEC Division of Enforcement Attorney containing mental impressions; prepared in anticipation of litigation	Christopher White				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
32	5/1/2018	Internal handwritten notes of witness interview of Tierney Sharif created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
33	5/14/2018	Internal memorandum of 5/1/2018 witness interview of Tierney Sharif created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
34	5/16/2018	Internal handwritten notes of witness interview of Tierney Sharif created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege

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35	6/1/2018	Internal memorandum of 5/16/2018 witness interview of Tierney Sharif created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
36	6/19/2018	Internal handwritten notes of Tierney Sharif created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
37	6/26/2018	Internal memorandum of 6/19/2018 witness interview of Tierney Sharif created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
38	6/20/2018	Internal handwritten notes of witness interview of Pamela Kirchen created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	John E. Kustusch				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
39	6/27/2018	Internal memorandum of 6/20/2018 witness interview of Pamela Kirchen created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	John E. Kustusch				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege

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40	10/30/2018	Internal handwritten notes of witness interview of Ariano Amplo created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
41	11/2/2018	Internal memorandum of 10/30/2018 witness interview of Ariano Amplo created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
42	10/30/2018	Internal handwritten notes of witness interview of Dean Voeks created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
43	11/13/2018	Internal memorandum of 10/30/2018 witness interview of Dean Voeks created by SEC Division of Enforcement staff working at SEC attorneys' direction containing mental impressions; prepared in anticipation of litigation	Dora M. Morales				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
44	1/30/2019	Internal handwritten notes of witness interview of Tierney Sharif created by SEC Division of Enforcement Attorney containing mental impressions; prepared in anticipation of litigation	Christopher White				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege

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45	5/30/2019	Internal handwritten notes of witness interview of Phil Skrade created by SEC Division of Enforcement Attorney containing mental impressions; prepared in anticipation of litigation	Christopher White				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
46		Bank Secrecy Act Reports: Currency Transaction Reports and Suspicious Activity Reports	Financial Crimes Enforcement Network – U.S. Department of the Treasury	SEC		N/A	31 C.F.R. §§ 1020.320(e)(1), 1021.320(e)(1), 1022.320(e)(1), 1025.320(e)(1), 1026.320(e)(1)
47	3/2/17 to 5/31/19	Schedules analyzing activity in relevant entity and individual bank accounts; investor contributions to GTIF; GTIF investment in Amiran Technologies; management fees and other payments by GTIF; GTIF related party transactions; and GPRE mineral sales prepared by SEC Division of Enforcement Accountant at the direction of SEC Division of Enforcement Attorneys	John E. Kustus				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
48	8/1/18 to 5/31/19	Draft memoranda by SEC attorneys to the Commission containing legal recommendation and legal analysis of SEC attorneys, prepared in anticipation of litigation, and reflecting governmental opinions, recommendations, or deliberations	SEC Attorneys				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege

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49	3/15/17 to 5/31/19	Drafts of subpoenas drafted by SEC Division of Enforcement Attorney regarding ongoing investigation; containing mental impressions of SEC Division of Enforcement Attorneys; prepared in anticipation of litigation	Christopher White				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
50	11/16/16 to 5/31/19	Drafts of correspondence drafted by SEC Division of Enforcement Attorney regarding ongoing investigation; containing mental impressions of SEC Division of Enforcement Attorneys; prepared in anticipation of litigation	Christopher White				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
51	11/16/16 to 5/31/19	Research memoranda drafted by SEC Division of Enforcement Attorney regarding legal issues; containing mental impressions of SEC Division of Enforcement Attorneys; prepared in anticipation of litigation, and reflecting governmental opinions, recommendations, or deliberations	Christopher White				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
52	4/27/16 to 5/31/19	Strategy notes drafted by SEC Division of Enforcement Attorney regarding ongoing investigation and recommendations; containing mental impressions of SEC Division of Enforcement Attorneys; prepared in anticipation of litigation, and reflecting governmental opinions, recommendations, or deliberations	Christopher White				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege

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53	4/29/16 to 5/31/19	Compilations of documents by SEC Division of Enforcement Attorney regarding investigation and recommendations; containing mental impressions of SEC Division of Enforcement Attorneys; prepared in anticipation of litigation, and reflecting governmental opinions, recommendations, or deliberations	Christopher White				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
54	4/22/16 to 5/31/19	Thousands of Emails regarding investigation strategy and enforcement recommendations containing confidential communications, mental impressions, and opinions of SEC Division of Enforcement Attorneys and Accountants, prepared in anticipation of litigation, and reflecting governmental opinions, recommendations, or deliberations	SEC Attorneys, SEC Accountants, SEC Staff			SEC Attorneys, SEC Accountants, SEC Staff	Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
55	12/6/17 to 5/31/19	Draft and final outlines for investigative testimony drafted by SEC Division of Enforcement Attorney; containing mental impressions of SEC Division of Enforcement Attorneys; prepared in anticipation of litigation	Christopher White				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege
56	2/28/17 to 5/31/2019	Attorney notes regarding strategy and recommendations containing mental impressions and opinions of SEC Division of Enforcement Attorney; prepared in anticipation of litigation; and reflecting governmental opinions, recommendations, or deliberations	Doressia L. Hutton				Attorney Work Product; Work Product; Attorney Client Privilege; Deliberative Process Privilege

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57	4/16/2016 to 4/22/2016	Outlines and notes for OCIE referral to Division of Enforcement attorneys and supporting documents prepared in anticipation of litigation, containing mental impressions and opinions, and reflecting governmental strategy, opinions, recommendations, or deliberations	Steven Levine, Gena Kusiak, Bill Chiu, Kent McAllister				Attorney Client Privilege; Deliberative Process Privilege
58	11/17/2015 to 3/22/2017	Internal emails between OCIE staff and supervisors containing mental impressions and opinions, and reflecting governmental strategy, opinions, recommendations, or deliberations	OCIE Staff				Attorney Client Privilege; Deliberative Process Privilege
59	4/22/2016 to 4/2017	Internal emails between OCIE staff and Division of Enforcement attorneys prepared in anticipation of litigation, containing mental impressions and opinions, and reflecting governmental strategy, opinions, recommendations, or deliberations	OCIE staff and Division of Enforcement attorneys and staff				Attorney Client Privilege; Deliberative Process Privilege
60	12/18/2015 to 3/22/2017	Internal notes and schedules by the OCIE examiners on reviews of documents and data, questions to be asked, and notes of preliminary conclusions and observations containing mental impressions and opinions and reflecting governmental strategy, opinions, recommendations, or deliberations	Bill Chiu, Brandi Hodges, Gena Kusiak, Steven Levine, Kristin Dryer, Kent McAllister, Lou Gracia				Deliberative Process Privilege; Attorney Client Privilege; Law Enforcement Privilege [re docs prepared for DOJ presentation]
61	2/8/2016 to 2/12/2016	Internal Notes and/or memorandum of witness interview of onsite visit with Bluepoint and Michael Hull containing mental impressions and opinions and reflecting governmental strategy, opinions, recommendations, or deliberations	Gena Kusiak, Kristin Dryer, Bill Chiu, Brandi Hodges, Kent McAllister				Attorney Client Privilege; Deliberative Process Privilege

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62	3/16/2016	Internal memorandum of witness interview of Mary Pat Dixon of the Department of Labor containing mental impressions and opinions, and reflecting governmental strategy, opinions, recommendations, or deliberations	Gena Kusiak				Deliberative Process Privilege
63	11/17/2015 to 3/22/2017	Draft correspondence by OCIE exam staff to registrant and other parties containing mental impressions and opinions and reflecting governmental strategy, opinions, recommendations, or deliberations	Bill Chiu, Gena Kusiak, Sylvia Miranda, Kristin Dryer, Lou Gracia, Brandi Hodges, Kent McAllister				Attorney Client Privilege; Deliberative Process Privilege
64	5/2016 to 5/31/2019	Communications with criminal law enforcement authorities regarding the SEC's investigation, and non-grand jury information regarding the DOJ's separate criminal investigation, containing confidential communications, mental impressions, and opinions of attorneys, prepared in anticipation of litigation, reflecting governmental opinions, recommendations, or deliberations, reflecting law enforcement investigations, techniques and/or procedures, and the identify of sources, witnesses, law enforcement personnel, and/or subjects of investigation. As stated in the SEC's objections to the Defendants' requests for production, these communications are not relevant to the claims and defenses in this case.				Christopher White, Robert Burson, Charles Kerstetter, Gena Kusiak, Billy Chiu, Steven Levine, Kent McAllister, Kristin Dryer, Doressia Hutton, David Glockner, Attorneys and FBI agents for USAO for the Western District of Wisconsin	Law Enforcement Privilege; Deliberative Process Privilege; Attorney Work Product; Work Product Attorney Client Privilege

